

Silicon Valley Workforce Investment Network

REQUEST FOR PROPOSALS

Title I Adult and Dislocated Worker Intensive Services, PY 2004-2005

Deadline for Submittals:	April 1, 2004, 3:00 p.m.* Faxed or e-mailed proposals will not be accepted. Postmarks will not be accepted as proof of timely delivery. Proposals received after the deadline will be returned unopened.
Proposal Packet Submittal Location:	Silicon Valley Workforce Investment Network ATTN: Elizabeth A. Kaylor, Project Analyst 60 South Market Street, Suite 470 San José, CA 95113
Technical Assistance Conference Time, Date, and Location:	February 23, 2004, 3:00 p.m.* San José One Stop 1775 Story Road, Suite 120 San José, CA 95122 RSVP: elizabeth.kaylor@sanjoseca.gov Only those who RSVP will be guaranteed accommodation.
Technical Assistance Contact:	Silicon Valley Workforce Investment Network FAX: (408) 297-1012 E-Mail: elizabeth.kaylor@sanjoseca.gov Written inquiries only, please. All relevant questions and answers will be made available to interested parties.

*All dates subject to change; any changes will be posted on www.sjeconomy.com.

Silicon Valley Workforce Investment Network

Our Mission:

The Silicon Valley Workforce Investment Network assists businesses and residents of the City of San Jose and southern Santa Clara County in meeting the workforce demands and opportunities of a global economy.

Our Vision:

To provide our diverse communities with a world-class workforce that fosters economic development. We work with business, residents, government, educational and community-based organizations to maximize local and regional employment opportunities. We are the catalyst in the development and implementation of a comprehensive workforce strategy. We reward innovation, success and continuous improvement.

Our Strategic Objectives:

- Provide businesses with the workforce tools they need to succeed in a global economy;
- Provide all residents with the workforce tools and opportunity to maximize their employment potential;
- Seek and implement successful employment strategies for residents with barriers;
- Bring government, business, education and training providers together to create innovative workforce strategies and programs;
- Foster a One-Stop System that fulfills the needs of our diverse communities; and
- Continuously improve our organization and the delivery of our services.

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Section 1. OVERVIEW

1.1 Introduction

This Request for Proposal (RFP) solicits interest and provides a framework to assess the qualifications and workplan for providing intensive case management services at the San Jose, Campbell, and Gilroy One-Stops, for eligible adults, ages 18 and over; **it is mandatory that service providers maintain a full-time presence sufficient to meet the needs of the clientele, and full participation as partners, in all three One-Stops.**

The One-Stop Center is the primary vehicle for Workforce Investment Act (WIA) services delivery. WIA authorizes Core Services, available to all adults without eligibility requirements, and Intensive Services, available to unemployed individuals who are not able to find jobs through core services alone; in some cases the Intensive Services will also be available to employed workers who need more help to find or keep a job. WIA also authorizes Training Services for qualified participants unable to find employment through Intensive Services. **Only Intensive Services will be funded through this RFP.**

Intensive Services shall be provided through Collaborative partnerships (“Collaborative”). Each Collaborative must propose to offer all Title 1 Adult and Dislocated Worker Intensive Services as required by the Workforce Investment Act (WIA). Although the services to be provided for Title 1 Adults and Title 1 Dislocated Workers are the same, there are differences in eligibility requirements for these two WIA funding streams. The WIA Adult and Dislocated Worker eligibility guidelines for SVWIN’s Service Delivery Area are published in the SVWIN Eligibility Technical Assistance Guide, or TAG, available at www.sjeconomy.com.

Each Collaborative shall consist of a Lead Agency and one or more Partners; A Lead Agency must represent each Collaborative. Primary responsibilities of the Lead Agency will be: 1) to assure provision of quality intensive and referral services; 2) to monitor, evaluate, and account for each partner in the Collaborative to ensure all partners’ compliance with WIA laws and program requirements; and 3) to meet or exceed State-mandated performance goals for SVWIN’s Service Delivery Area.

Only proposals submitted by an eligible Lead Agency will be funded; qualified organizations may fall within any of the following categories:

- Community-Based Organizations (CBO)
- Public Agencies
- Labor Organizations
- Business & Trade Associations
- Governmental Organizations
- Private For-Profit Businesses
- Private Non-Profit Organizations
- Educational Entities

An eligible Lead Agency will have a minimum of 24 months of experience within the 60 months prior to the submittal deadline in providing all of these workforce development services to adults with high (or multiple) barriers to employment:

- Basic skills and employability assessments
- Intensive counseling and case management
- Connection to needed community resources
- Supportive services assistance and referrals
- Job development services
- Job placement and referrals

Proposers are strongly encouraged to form collaborative relationships with other entities that possess expertise and resources relevant to the needs of Title 1 Adults and Dislocated Workers, and to develop a system-wide approach that maximizes the available resources and provides a comprehensive array of services responsive to the unique needs of the diverse communities of the Local Workforce Investment Area. All partners of a proposed collaborative are permitted to participate in other proposed collaboratives formed in response to this RFP.

The Title 1 Adult/Dislocated Worker Intensive Services Program will begin providing services and program-related activities from July 1, 2004, through June 30, 2005. No more than 20% of the PY 2004-2005 award may be expended after June 30, 2005. SVWIN may extend the contract(s) for an additional year, through June 30, 2006, contingent upon funding and contractor performance.

1.2 SVWIN Policy Priorities

The ultimate goal of the Silicon Valley Workforce Investment Network (SVWIN) Adult/Dislocated Worker Program is to provide activities for WIA-eligible adults that increase their employment, retention, earnings, and occupational skills for local growth occupations.

As part of its internal strategic planning process, the SVWIN Board of Directors has developed the following policy goals and priorities:

- Require Accountability and High Ethical Standards
- Support Employer-Driven Training
- Require Performance-Driven Contracting
- Target Areas of Need Within the Community
- Support Financial Literacy Training

The proposal shall document the extent to which general service delivery will be consistent with these priorities:

- Accountability and High Ethical Standards: In order to effectively implement these policy goals, it is essential that SVWIN and partners embrace high standards of ethics, management, and accountability. Therefore, we strongly encourage

collaborative proposals that demonstrate clear lines of reporting and oversight responsibilities between the proposing Lead Agency, the subcontractor(s) and other partners, and SVWIN; the proposal will include the substantive detail that will form a basis for any subcontracts, including: 1) the scope of work and time frame for completing this work, 2) the total hours of instruction and preparation, 3) rate(s) of pay, method of requesting reimbursement, and total maximum reimbursement, and 4) method for documenting performance. It is essential that all aspects of the workplan reflect the SVWIN policy priority regarding accountability.

- Employer-driven training: Proposers will address the degree to which their employment program will support the needs of local employers in developing a qualified pool of applicants. Therefore, to the fullest extent possible, the training and services supported through this program should reflect the involvement of local employers in defining the training and placement initiatives required to create career paths from entry-level jobs to higher-skill, higher wage positions. SVWIN encourages proposers to form Employer Advisory Boards to ensure that the planned program remains responsive to the needs of the local business community.

The SVWIN Board has designated five growth-industry clusters on which its resources will be focused:

- Bioscience and Biotechnology
- Health Care
- Hospitality and Tourism
- Retail
- Software

In partnership with employers in these industry clusters and other fields with demand occupations, SVWIN fosters coordination among educational providers and community-based organizations to develop creative solutions in order for industry and individuals to move forward.

- Performance-driven contracting: SVWIN is very interested in receiving proposals that are supportive of its set of performance indicators. Therefore, a certain percentage of the successful services contractors' payment will be linked with the achievement of specified performance outcomes. The contract with the successful Lead Agency to provide intensive case management services to WIA-eligible Adult Title I and Dislocated Workers will be at least 10% performance-based.
- Target areas of need within the community: SVWIN seeks to target its resources to address the needs of adults with higher barriers, or multiple barriers, to self-sufficiency. These targeted populations include:
 - Veterans
 - Low income/recipients of CalWORKS
 - Adults with basic work skills deficiencies
 - Disabled adults (proposed programs must be accessible and user-friendly)
 - Adults with Basic Skills Deficiencies/Limited English Proficiency
 - Transient (homeless) adults

In light of funding available to SVWIN relative to the need that exists within the community, more points shall be awarded for workplans that target and focus available resources on services for adults with higher or multiple barriers to self-sufficient employment. SVWIN is also interested in supporting those proposals that can clearly demonstrate a focused and statistically demonstrable impact in the community.

- Financial Literacy Training: SVWIN recognizes the importance of financial education, particularly for people with little or no experience obtaining services through financial institutions. Financial Literacy programs foster financial stability for individuals and entire communities; the more people know about credit and banking services, the more likely they are to increase savings, buy homes, and improve their financial health and well-being. The Lead Agency's Case Managers will connect adult Participants with programs that address (1) the importance of saving, (2) the mechanics of budgeting, (3) how to choose and maintain a checking account, and (4) how to obtain and use credit effectively.

The SVWIN seeks to encourage services providers to develop proposals that are (1) creative and innovative, (2) high impact, (3) sustainable, (4) cost-effective, and (5) consistent with the policy priorities established by the SVWIN Board. We, therefore, encourage proposals that include subcontracting and/or non-financial partnerships to allow leveraging of additional resources through collaboration, and to provide specialized services as needed at each of the three One-Stops. The proposer's program should fit into activities and programs that are being carried out by others within the community, to ensure that these programs do not operate in isolation.

While SVWIN does not require that these policy priorities be addressed in your proposal, activities funded through this RFP are intended, to the extent practical, to support these policy priorities.

Members of the RFP Rating Panel may not be familiar with your (or your partners') organization, its mission, operating plan, or targeted population. Therefore, it is important to provide sufficient information, as specifically requested in Section 3, in the proposal, as it will be the major source of data for funding decisions.

1.3 RFP Process Overview

Please note: all dates are subject to change.

1.3.1 Process Timeline

February 9, 2004	RFP release date
February 23, 2004	Technical Assistance Conference
March 25, 2004	Last day for Technical Assistance
April 1, 2004	Proposal submittal deadline
May 6, 2004	Award announcement
May 10, 2004	Initiation of contract negotiations
July 1, 2004	Initiation of services

1.3.2 Technical Assistance

Following release of the RFP, staff will provide general guidance such as clarifying or confirming information that is a prerequisite to the offer of an award, but not guidance in actually preparing your proposal. Technical assistance will not be available after March 25, 2004.

1.3.3 Submittal of Proposals

Proposals received prior to the submittal deadline will be screened for compliance with the following format specifications:

- Proposers will submit one original, six (6) unbound typewritten copies, and one electronic copy of the Proposal Narrative, the Program Budget, the Program Operating Plan and the Program Cost Allocation Narrative, on 3.5" diskettes, or on a CD, in MS Word (6.0 or more recent) format, in a sealed envelope via hand delivery or certified mail.
- All narratives and charts will be typed in Arial (regular, not narrow) or Times New Roman font, 12-point size or larger, on 8 ½ "x 11" pages. Allow 1" for all margins. Due to page limitations, **proposers will be disqualified** for providing narratives with font sizes smaller than 12-point.
- All narratives will be single-spaced, single-sided, and numbered sequentially throughout, including page numbers on all attachments. Proposals will be single-stapled or clipped. No bound inclusions will be submitted as part of the proposal.

1.3.4 Review and Rating of Proposals

SVWIN Fiscal and Program staff will screen all proposals accepted prior to the submittal deadline for (1) compliance with the format specifications of the RFP described above, and (2) completeness as shown in Appendix A, Proposal Checklist.

Members of the RFP Rating Panel will be screened to ensure that there is no direct financial benefit to them, their organizations and/or employers, or any member of their immediate families.

Each member of the RFP rating panel will evaluate all proposals passing SVWIN's format and completeness thresholds for the clarity of their response to four basic evaluation criteria as outlined in Section 3.2.

After the members of the rating panel have individually reviewed all proposals forwarded from SVWIN staff, the panel will meet to present individual justifications for scores assigned to each proposal; depending on the outcomes of these discussions, reviewers may or may not adjust their individual scoring. In the final analysis, reviewer scores will be averaged to determine the final score for each proposal.

1.3.5 Recommendation to the Executive Committee and SVWIN Board

Following the rating panel's evaluation of the technical merits of each proposal against the RFP evaluation criteria, the Project Analyst will provide the Executive Committee with evaluation documentation to include the aggregated RFP Rating Panel scores, proposal rankings, and an assessment of the relative strengths, weaknesses and risks of each of the rated proposals.

SVWIN reserves the right to fund all or portions of a proposal; the proposed budget will not necessarily be the funded amount.

A proposal shall not be forwarded to the Executive Committee for funding consideration if it:

- Contains misrepresentation or lack of accurate and specific information by a proposer, or
- Fails to achieve a minimum combined score of 55 points for "Qualifications and Experience" (30 points possible) and "Program Workplan" (45 points possible).

Only proposals that have met the minimum threshold requirements, as **bolded** in Sections 1 through 4 of this RFP, will be forwarded for consideration to the SVWIN Executive Committee. All recommendations by the SVWIN Executive Committee will be forwarded to the SVWIN Board of Directors for their approval of the final award(s).

1.3.6 Contract Negotiation with Successful Proposer(s)

After all proposals have been rated and ranked, and recommendations have been approved by SVWIN, all successful proposers may be required to participate in negotiations to determine the specific terms of the Agreement and budget. In cases where the SVWIN cannot successfully conclude negotiations with the selected proposer or where a selected proposer fails to provide SVWIN with requested information in a timely fashion, an award will not be made to this proposer.

During the contract negotiation phase of the RFP process, the successful proposer(s) will be required to attend an Orientation to SVWIN Services, to ensure seamless integration with other SVWIN programs and services.

1.4 Definitions

Administrative Cost: The portion of the budget that is associated with the overall management and administration of the proposed program and that is not related to the provision of services to Participants.

Conflict of Interest: A situation that arises when an individual has competing professional or personal obligations, or personal or financial interests, that would make it difficult to fulfill his duties fairly.

Coordination with the WIA One-Stop System: The One-Stop system provides workforce development services to adults. SVWIN contractors will be expected to engage in partnerships to provide resources and services to eligible adults. Proposed programs should provide for a seamless transition to the One-Stop system.

Core Services: WIA core services include job search and placement assistance (including career counseling); labor market information (identifies (1) job vacancies, (2) skills needed for in-demand jobs, and (3) local, regional and national employment trends); initial assessment of skills and needs; information about available services; and some follow-up services to help customers keep their jobs once they are placed. Core services are provided by SVWIN at the One-Stops.

Cost Reimbursement Contract: This is an agreement format that provides for the reimbursement of all allowable costs that have been identified and approved in the contract budget; contractors must maintain documentation sufficient to support the costs.

Firm Commitment: Agreement by which proposer or partner agrees to perform an activity specified in the proposal and demonstrates the financial capacity to deliver the resources necessary to carry out the activity, and commits the resources to the activity either in cash or through in-kind contributions and is irrevocable, **subject only to receipt of funding award.**

In-kind Contribution: The value of services that are provided by the contractor at no cost to the program.

Intensive Services: Intensive Services include more comprehensive assessments, development of individual employment plans, group and individual counseling, case management, and short-term pre-vocational services.

One-Stop Center: The primary service vehicle for WIA services delivery, providing universal access to job seekers and employers; a One-Stop is a centralized location for workforce development programs, activities, and services.

Orientation: An overview of WIA and partner services offered through the local One-Stop system; orientations to WIA Adult and Dislocated Worker services will be held at the One-Stop(s).

Participant: An individual who has been determined to be eligible to participate in, and who is receiving services under this program. This term is often used interchangeably with the terms “client” and “customer.”

Performance-based Contract: A contractual agreement wherein all or a specified percentage of an award is subject to a monetary holdback provision related to follow-up services and the achievement of State-mandated performance outcomes.

Placement into Employment: Placement into full-time (at least 30 hours per week), unsubsidized employment.

Referral: Programs are strongly encouraged to link and share information with other agencies and organizations in order to meet the individual needs of employers and job seekers.

Self-Referral: a potential conflict of interest situation in which Participant assessment results are interpreted to the benefit of the assessing entity.

Targeted Population: SVWIN's targeted populations include: veterans, low income/ recipients of public assistance, transient (homeless) adults, disabled adults, adults with basic skills deficiencies, and adults with limited English proficiency.

Total Operating Budget: The WIA funds requested, minus the performance-based holdback, plus any leveraged funding.

Total Project Budget: The overall program budget, including WIA funds requested and any leveraged funding obtained in support of the proposed program.

Workforce Investment Act (WIA): Employment and training program legislation effective as of July 1, 2000; WIA replaces the Job Training Partnership Act (JTPA).

Workforce Investment Board: The local policy board that directs Federal, State, and private funding for occupational skills training and educational programs.

Work Preparation: Activities that prepare Participants for work by assuring that they are familiar with general workplace expectations and exhibit work behaviors and attitudes necessary to compete successfully in the labor market; this may include life skills training.

1.5 SVWIN Continuous Improvement

The SVWIN, as part of its *Continuous Improvement* Program, requests input from proposing entities and interested parties to provide suggestions that would improve the clarity and organization of the RFP template for future issuances. Please send your suggestions and comments via e-mail to: elizabeth.kaylor@sanjoseca.gov.

Section 2. DESCRIPTION OF SERVICE SCOPE AND ELIGIBLE CLIENTS

2.1 Introduction

This section of the RFP will specify the locations where services will be provided, the services requested through this RFP, and the populations eligible to be served through this program.

2.2 SVWIN Service Delivery Area

The 1998 Workforce Investment Act, or WIA, requires coordination of services to assist adults and youths in preparation for the workforce. The SVWIN was formed to serve the employment needs of the communities within the Local Workforce Investment Area (LWIA). The SVWIN service delivery area includes the cities of Gilroy, Morgan Hill, Los Gatos, Monte Sereno, Saratoga, Los Altos Hills, Campbell, and San José. Please see Appendix F. for the list of zip codes falling within the SVWIN Service Delivery Area. Business and WIA-eligible client services are provided at the Silicon Valley Workforce Investment Network One Stop Centers and/or SVWIN-approved satellite locations.

Intensive case management services for Adults/Dislocated Workers will be provided at the San Jose One-Stop, the Campbell One-Stop, and Gilroy One-Stop.

2.3 Services requested through this RFP

SVWIN requires proposing entities to have 24 months of experience within the 60 months prior to the submittal deadline in providing all of these services to adults, ages 18 years and over, with high (or multiple) barriers to employment:

- Academic and employability assessments
- Intensive counseling and case management
- Connection to needed community resources
- Supportive services assistance and referrals
- Job development services
- Job placement and referrals

The WIA Reauthorization legislation may require changes to the current WIA eligibility requirements, performance measures, formula funding calculation methodologies, allowable core and intensive program elements, and other program parameters. Contractors will be required to adjust their programs to be in compliance with the finalized Federal requirements. The SVWIN reserves the right to make changes to the requirements and policies contained in this RFP for any reason including, but not limited to, changes in WIA and associated regulations, changes in State law, and/or changes in local laws or other guidance provided by the Federal, State, and local governments regarding the implementation of WIA.

2.3.1 Adult/Dislocated Worker Program Intensive Services

The SVWIN program goals for eligible adults, ages 18 and over, are quality case management and connection to activities that increase Participants' employment, retention, earnings, and occupational skills for local growth occupations. Both Title 1 Adults and Dislocated Workers will need the following Intensive Services

- Orientation to WIA services
- Eligibility verification and documentation
- Comprehensive academic and employability assessments
- Intensive counseling and WIA case management
- Development of Individualized Employment Plan (IEP)
- Basic Skills Deficiency remediation referrals
- Referral to SVWIN-approved eligible training providers
- Connection to needed community resources
- Supportive services assistance and referrals
- Job development services
- Job placement and referrals
- Follow-up services and activities for the 12 months following exit, as required by WIA

SVWIN anticipates that up to \$800,000 will be available to provide Intensive Services for 300 WIA Title 1 Adult Participants, and that \$1,200,000 will be available to provide Intensive Services for 500 WIA Title 1 Dislocated Worker Participants, subject to SVWIN's receipt of projected FY '04—'05 funding allocation.

SVWIN will consider proposals that propose serving fewer than 300 Adult Title 1 Participants, if the proposer plans to focus on serving those with high or multiple barriers to employment. However, in no case will less than 200 WIA-eligible Title 1 Adults be served through the proposed program.

Proposers shall justify their cost per participant ratio in terms of: (1) how the planned program will meet the employment needs of those with high (or multiple) barriers, and (2) how this cost compares with what is paid locally for similar services for hard-to-serve adults.

2.3.2 Adult/Dislocated Worker Program Flow Outline

Proposers may use the information in this section to assist in the development of the Program Services Flow Chart and Budget. Please see Section 4.3 for more detailed information on WIA Intensive Services requested through this RFP.

A. Initial Assessment

This activity comprises a basic appraisal of educational background, employment history, and supportive service needs, to determine whether WIA is the most appropriate service for the interested individual.

If it has been determined, during Initial Assessment or Intake, that an individual does not meet the enrollment requirements of a particular program or is not eligible for WIA Intensive Services, he/she will be offered assistance in accessing organizations that are more appropriate.

B. Intake

There are three phases of Applicant Intake:

- Eligibility document gathering
- Verification of participation in core service
- Certification of Eligibility

Enrollment begins at Intake.

C. Enrollment

Enrollment takes place when enrollment documents have been completed, certified, and entered into SVWIN's management information system (MIS).

The Adult/Dislocated Worker Intensive Services Contractor's performance shall be evaluated based on program outcomes for **all enrolled Participants**.

D. Comprehensive Assessment

Each Participant shall receive a comprehensive, objective assessment of his/her skill level and service needs. This client-centered assessment will include a review of: basic skills, education, work history, occupational skills, employability, interests, aptitudes (including interests and aptitudes for nontraditional jobs), family situation, financial situation/need, and supportive service needs.

F. Development of Individual Employment Plan (IEP)

Based on the results of the comprehensive assessment, a formal training/needs strategy will be mutually developed between the case manager and the Participant. This strategy identifies the employment goal and plots the course of action that shall be taken by the Participant, the case manager, and the appropriate partner agencies.

G. Short-Term Pre-Vocational Services and Soft Skills Training

The following services may be included in your Workplan:

- Job search skills training
- Job readiness training
- Literacy activities related to basic workforce readiness
- Out-of-area job search assistance

- Relocation assistance
- Supportive services to enable Participants to complete their program

H. Placement into Unsubsidized Employment

I. Post-Employment Follow-up Services

Each Participant who is placed in unsubsidized employment must be provided post employment follow-up services for a minimum of twelve months after the first day of employment, to assist Participants in job retention. These follow-up services may include:

- Job coping skills,
- Counseling regarding transition to employment the workplace,
- Planning for advancement opportunities, and
- Support with workplace problems

J. Post-Exit Follow-Up Services

Each Participant who is exited from WIA must be provided follow-up services on a monthly basis for the first quarter following exit, and quarterly thereafter for a total period of one year.

2.4 Eligible Program Participants

WIA Title 1 Adult and Dislocated Worker Program eligibility guidelines for the Local Workforce Investment Area are published in the SVWIN Eligibility Technical Assistance Guide, or TAG, available at www.sjeconomy.com.

Section 3. PROPOSAL EVALUATION CRITERIA

3.1 Introduction

The Program Workplan Narrative, including the Executive Summary, shall not exceed 15 pages. The Cost Allocation Narrative shall not exceed 5 pages. **Please note that, although submitting pages in excess of the page limit will not disqualify your proposal, SVWIN will not consider the information on any excess pages, which may result in a lower score or failure to meet a minimum threshold.**

Proposals meeting the format specifications will be screened for completeness. In addition to the complete list of required documents and inclusions in Appendix A, Proposal Checklist, please note:

- Proposals not including a Proposal Summary Form with the signature of the authorized representative **will be disqualified.**
- Proposals not including both a Collaborator Agreement and MOU for each partner **will be disqualified.**

3.2 Evaluation Criteria

Proposers should prepare their Program Workplan Narratives to address these four basic evaluation categories:

- Need and Extent of the Problem
- Qualifications and Experience
- Program Workplan
- Leveraging

In addition, proposers may acquire bonus points for 1) proposals from entities willing to increase the required performance-based contract holdback percentage, and 2) proposals from local Lead Agencies with established links to community services and employers. See Section 3.2.5.

Respond to all questions and issues. It is not necessary to repeat the item to which you're responding. Use the Section numbering (3.2.1 through 3.2.5) and the letters in front of the questions/issues to identify your responses; for example, use (3.2.2a) to identify your response to the request for "verifiable evidence of your organization's required 24 months of experience within the 60 months prior to the submittal deadline in serving adults with high (or multiple) barriers to employment."

3.2.1 Need and Extent of the Problem (15 points possible)

In the two-page Executive Summary, proposers should (1) statistically demonstrate the existence and extent of the need for services to be rendered to the target population, (2) indicate how these proposed services will fill in gaps in the current workforce services system, and (3) provide a plan for program impact

evaluation showing how the extent of the problem will be reduced through the proposed program. In the Participant Characteristics Plan (see Exhibit E), proposers will provide the demographic statistics of the Participants they plan to serve, including their barriers to employment.

In rating responses to this category, members of the RFP Rating Panel will review the Executive Summary to verify that the proposing entity has statistically described (1) the gap(s) in the local workforce services system, (2) the characteristics of the target population(s) to be served through the proposed program, (3) the prevailing economic conditions affecting the target population(s), (4) the urgency of the need, and (5) the probable impact on the community of addressing the need through the proposed program. The RFP Rating Panel will examine the Executive Summary and Participant Characteristics Plan to address the following questions:

- Did this proposal demonstrate a statistically verifiable and comprehensive understanding of the characteristics and needs of the population they seek to serve through this proposal? The more comprehensive the understanding of the needs of the population to be served, the more points will be awarded under this sub-factor. (5 pts.)
- What will be the statistically verifiable and demonstrable impact of this proposal as it relates to the specific population to be served? The higher the barriers to employment, and the more demonstrable the impact of the planned program, the more points will be awarded under this sub-factor. (5 pts.)
- How will this proposal address the needs and fill the service gaps as they relate to the population(s) to be served through this proposal? The clearer the value added of the services to be supported under this proposal, the greater the number of points to be awarded under this sub-factor. (5 pts.)

3.2.2 **Qualifications and Experience** (30 points possible)

In this section, proposers will answer questions and address the following issues regarding the relevant experience of the organization, key personnel, and proposed partners in providing requested services and implementing the proposed workplan in a timely manner within the award period.

The RFP Rating Panel will examine the proposal to rate the following sub-factors:

- Experience of the *organization and its partners* relative to the specific population to be served through your workplan, types of services provided in the past relative to the proposed services, numbers of people served previously relative to proposed numbers to be served, budgets managed in the past relative to the amount requested in your workplan, and the organization's experience in addressing the specific needs of employers through the design and implementation of job training programs. The more closely the prior experience of your organization and partners resembles the

services, client population, numbers of clients, and budget presented in your workplan, the more points will be awarded under this sub-factor. (20 pts.)

- Experience of *key staff and of partners' key staff* relating to serving the targeted population, types of services, numbers of people served relative to proposed numbers, and budgets managed in the past relative to the amount requested. The more closely the prior experience of your key staff and partners' key staff resembles the services, client population, numbers of clients, and budget presented in your workplan, the more points will be awarded under this sub-factor. (10 pts.)

Organizational Qualifications

- a. Verifiable evidence of your organization's required 24 months of experience within the 60 months prior to the submittal deadline in serving adults with high (or multiple) barriers to employment.
- b. Verifiable evidence of your organization's successful outcomes of prior funding for similar programs serving adults with high (or multiple) barriers.
- c. Organization's and partner's experience in producing timely products and reports in any previous grant programs undertaken with SVWIN funds or other Federal, State, local or non-profit funds. In assessing points for this sub-factor, SVWIN reserves the right to take into account your past performance in meeting performance and reporting goals on any previous SVWIN programs. Proposers that can demonstrate a closer and greater linkage between the expected outcomes of this proposal and their previously generated outcomes will receive higher points for this sub-factor.
- d. How proposer's organizational mission, structure, and staffing plan contribute to the ability of your organization to (1) perform successfully according to WIA, and (2) accept fiscal liability for WIA grant funds. Describe the system your organization has in place to safeguard these funds. How will your organization's fiscal system and record-keeping methods facilitate audit reviews?
- e. Proposer's capacity to effectively track, monitor, and implement internal controls regarding Participant progress and program performance.
- f. Have your organization or key partners been subject to fines or suspension, been convicted of fraud, or defaulted on any contract? If yes, please explain.
- g. Have your organization or key partners been notified of any recent audit findings, IRS liens, or negative credit reports? If yes, please include these notifications in your Corrective Action Report (see Section 4.4).
- h. Contact information for three references capable of verifying your organization's timely performance under prior contracts.

Coordination with Local Programs and Services

- i. Proposer's current and planned linkages to local employers and the value these relationships will bring to your program. Describe your organization's experience in addressing the specific needs of employers through the design and implementation of job training programs.
- j. Extent and quality of current and planned community partnerships involved in making contributions to the program.

Key Personnel Qualifications

- k. Qualifications and experience of key personnel such as Director, Assistant Director, Fiscal Officer, Program Coordinator, and Case Managers, and the value they will bring to your proposed program; include any relevant licenses and certifications. For the Director of the project, describe relevant experience in managing projects of similar size, scope and dollar amount. Provide the qualifications of key staff by activity (recruitment, eligibility determination, assessment, etc.) including number of hours of relevant training. Please attach resumes and job descriptions to your proposal.
- l. SVWIN expects that the successful proposer(s) will hire and develop quality staff and implement systems for staff stability and continuity of services. For each proposed staff member, provide the length of continuous employment by job classification. When responding, please remember to provide dates, job titles, and relevance of past experience to work undertaken by the employee and proposed partners in your workplan.
- m. Qualifications and experience of proposed partners' key personnel, relative to their importance in providing activities detailed in the workplan; please address all issues identified in the above items (k) and (l).
- n. Qualifications of those who will be responsible for internal self-monitoring and for providing program impact evaluation plans.

3.2.3 **Program Workplan** (45 points possible)

In this section, proposers will describe their comprehensive system designed to address the needs of the target population identified in the proposal. This factor takes into account the activities to be undertaken, the cost-effectiveness of your proposed program, and the linkages between identified needs and your proposed activities.

In assessing cost effectiveness, SVWIN will take into account staffing levels, beneficiaries to be served, a timetable for delivery of services and anticipated outcomes. The RFP Rating Panel will assess outcomes resulting from your proposed workplan for the likelihood it will result in measurable and achievable outcomes that will alleviate or address the need and extent of the problem, as described in rating factor 3.2.1. You must include in your proposal a quantitative description of the number of people to be served and the associated outcomes in order to receive points for this rating factor. You will receive a greater number of

points if your workplan is consistent with the Board policy priorities set forth in Section 1.2.

It is important that proposers take into account the differences in the demographics and needs of the client populations and the business communities to be served at each of the One-Stops; successful proposals will clearly indicate what those differences are, and how your staffing and service delivery strategy will be responsive to these differences.

The RFP Rating Panel will examine the proposal to rate the following sub-factors:

- Is the workplan comprehensive and responsive to the items listed in 3.2.3 (a) through (i) below under Comprehensive Workplan? How consistent is it with policy priorities of SVWIN? The more comprehensive the workplan, and the more responsive it is to this RFP and the policy priorities of SVWIN, the more points will be awarded under this sub-factor. (20 pts.)
- How collaborative is the proposed workplan? Is the workplan responsive to items (j) through (l) listed below under Collaboration? This sub-factor will address the extent to which a proposed program is coordinated with other ongoing and related activities in each specific One-Stop area with the proposed target population; the purpose of this sub-factor is to insure that, whenever possible, activities are not operated in isolation but are linked with related activities and organizations to improve the overall effectiveness of all efforts being undertaken as part of the workplan. Consideration will be given to the extent to which activities are coordinated with other known organizations and have addressed the described need in a holistic and comprehensive manner through linkages with other activities in each specific One-Stop area that are funded by other local organizations, State or local governments, national non-profits, foundations and business/private industry. SVWIN encourages proposers to form Employer Advisory Boards to ensure that the planned program remains responsive to the needs of the local business community. The more comprehensive and relevant these activities are, the more points will be awarded under this sub-factor. (10 pts.)
- How will the proposed workplan and staffing plan ensure that the specific needs of Participants with higher barriers are met in a cost-effective manner? Is the workplan responsive to items (m) through (o) listed below under Linkage between Participant Needs and Planned Activities? How free is the workplan from any potential conflict of interest, specifically regarding the issue of self-referrals? The SVWIN wishes to provide the services actually needed by the Participant, as opposed to those services a certain proposer or partner may offer or desire to provide. The more cost-effective the workplan and staffing plan in terms of meeting the actual needs of those with higher barriers, the more points will be awarded under this sub-factor. (15 pts.)

Comprehensive Workplan

- a. Proposer will describe a continuous flow of planned services to eligible Participants, beginning with Initial Assessment through termination, and follow-up. Show each of the services bulleted in Section 2.3. **Provide a flow chart of how Participants will move through your proposed system, indicating which partner is responsible for each service/activity.** Please include this document in your proposal in the order specified in Appendix A, Proposal Checklist.
- b. Present your timetable for start-up, identifying (1) key milestones for achievement of measurable goals and (2) timelines for carrying out these activities. Other things being equal, proposals with a clearly defined workplan that can produce immediate results will receive more points.
- c. Proposer's and/or partners' strategies for maintaining contact with Participants. How do these methods demonstrate sensitivity and competency toward the unique needs and cultures of the targeted adult population(s)?
- d. Proposed intake/eligibility certification processes and qualifications of those who will be responsible for providing these services. If your organization has no experience in providing WIA services, explain how you will ensure compliance with WIA regulations.
- e. Methods for appropriate service referral for applicants who are not eligible for WIA services.
- f. Process for conducting Participant assessments. Case management strategies, including the principles, procedures, and practices (methodology) of case management to be provided, proposed case manager-to-Participant ratio, anticipated frequency of contact, and how case management staff will link each Participant with needed services.
- g. Describe the kind(s) of support services to be provided to Participants in addition to direct WIA services; these services include childcare, transportation, and health care.
- h. Provide an estimate, specific to your target population(s)' anticipated barriers, of the average length of a Participant's intervention.
- i. Your workplan will be evaluated to ensure that you and your partners have a mechanism for (1) monitoring and self-assessing your progress in meeting program goals and objectives, and (2) ensuring that the integrity of the use of funds is in accordance with WIA cost allocation and record-keeping requirements, OMB Cost Principles, and the approved program budget.

Your workplan should describe and identify the specific steps that you will take to carry out a self-monitoring function that meets these requirements. Detail the process for utilizing evaluation information in making management decisions and program improvements. Proposers that clearly define roles, responsibilities, and steps to be taken to meet this requirement will receive a greater number of rating points in this category.

Collaboration

- j. Extent to which your program will be integrated with other local community-based programs. How will the various agencies maintain interaction and involvement with each other through the duration of this program to assure the continuous improvement of the workforce services delivery system?
- k. Does the workplan address the needs of participating growth-industry cluster employers (see Section 1.2 SVWIN Policy Priorities) in terms of available labor supply, skills shortages, new technology, expansion plans, and other conditions contributing to the need for new employee training? Describe your organization's plan for outreach to local growth-industry cluster employers for job development and placement opportunities.
- l. Process by which assessment results will be integrated with partners. How will other agencies assist in setting goals and selecting the appropriate mix of services as required for each Participant?

Linkage between Participant Needs and Planned Activities

- m. How closely does the workplan link the needs of the target population with the proposed activities? How do program services and staffing plans vary in response to the different demographics and economic conditions around each of the three One-Stops? **Provide an Organizational Chart showing the lines of responsibility for all proposed staff.** Please include this document in your proposal in the order specified in Appendix A, Proposal Checklist.
- n. Justify your cost-per-Participant ratio in terms of (1) how your program will meet the employment needs of those with high (or multiple) barriers, and (2) how this cost compares with what is paid locally for similar services for hard-to-serve adults. In the Cost Allocation Narrative, provide a breakdown of the specific level of staffing per activity (assessment, client contact, self-monitoring, etc.) per location. Administrative costs associated with providing your proposed program shall not exceed 5% of the WIA budget.
- o. Does the proposal provide a system of checks and balances to ensure an unbiased assessment of individual needs, and, where applicable, criteria for self-referral?

Again, it is essential that your workplan describes the specific accommodations you will provide, through your staffing plan and service delivery strategy, to

address the demographic differences and needs of the client populations and local businesses at each of the three One-Stops in the SVWIN service delivery area.

3.2.4 **Leveraging** (10 points possible)

This factor addresses the extent to which proposers have obtained **firm commitments** of financial or in-kind resources from other Federal, State, local and private sources, subject only to receipt of funding award, to support the proposed program. Employers who demonstrate a greater commitment to the proposed program through providing high quality match contributions in support of planned activities will increase the number of points awarded to a proposal for Leveraging.

In the Proposal Narrative, proposer will express the specific amount of funding leveraged per WIA dollar. Points will be awarded based on the percentage of leveraged resources relative to the overall program budget:

Leveraged funds:	At least 50% of Total Project Budget ...	10 points
	At least 40%, but less than 50%.....	8 points
	At least 30%, but less than 40%.....	6 points
	At least 20%, but less than 30%.....	4 points
	At least 10%, but less than 20%.....	2 points
	At least 5%, but less than 10%.....	1 point

The RFP Rating Panel will examine the Proposal Narrative and Collaborator Agreements for evidence of a “firm commitment” (please see definition in Section 1.4) of financial or in-kind resources, from the proposing entity and/or partners, to support activities detailed in the proposal.

You must provide evidence of leveraging by including in the application letters of firm commitment to participate from any entity, including your own organization, planning to provide matching funds to the project. Please include Letters of Firm Commitment in your proposal, in the order specified in Appendix A, Proposal Checklist.

Please note: if a contract is entered into upon a representation by the successful proposer that financial or in-kind resources are available to support the contracted services, but it is later determined that those resources are not available, SVWIN may terminate the contract and/or proceed with any other remedy available to SVWIN to enforce the terms of the contract. It is essential that your commitment is achievable.

3.2.5 **Bonus Points** (5 points possible)

Bonus Points for Increasing 10% Performance-based Holdback

A maximum of 3 bonus points may be acquired by a proposer willing to increase the percentage of the performance holdback on the contract, 1 bonus point per additional 5% of the award held back for performance:

10% holdback.....	0 bonus points
15% holdback.....	1 bonus point
20% holdback.....	2 bonus points
25% holdback.....	3 bonus points

Bonus Points for Local Workforce Services Programs

Two bonus points will be awarded to local workforce services providers (see Section 2.2 for description of SVWIN service delivery area) with at least 24 months of satisfactory experience providing these services within the 60 months prior to the April 1, 2004, proposal submittal deadline.

Section 4. ADDITIONAL IMPORTANT INFORMATION

4.1 Requirements for Contractors without WIA Experience

It is anticipated that contractors without prior experience in operating WIA programs will be interested in providing the requested services; these contractors will be required to submit at least one letter of reference from funding sources for which the contractor has previously operated workforce programs for adults with high or multiple barriers to employment. The text of this letter shall clearly indicate (1) the performance requirements of the funding source and (2) the degree to which those requirements were met by the proposing entity.

4.2 Requirements for Collaborators

Proposals submitted without a signed MOU **and** Collaborator Agreement for each proposed partner **will be disqualified**. The Collaborator Agreement form is included in Appendix B. The MOU must contain, at minimum, the specific activities, services, and support to be provided by each partner, and the responsibilities of each partner in the management, administration, and implementation of the program design. The MOU will also clarify:

- Which organization will function as the primary contractor;
- How that organization will carry out its contractual responsibilities;
- How the activities of the subcontractor, including reporting requirements, will be managed by the primary contractor;
- How the primary contractor will ensure subcontractor compliance with WIA regulations;
- How these services will be compensated by the primary contractor;
- How performance commitments for each partner relative to the mandated WIA performance measures will be realized; and
- How these services will be provided in the event of partner or subcontractor default.

The MOU must contain a statement to the effect that no other non-WIA funds are available to the proposer or partner(s) for the provision of the planned services.

4.3 Requirements Regarding Intake and Case Management Services

Intensive Services to be provided through the proposed program will include:

Intake

Intake comprises three phases: 1) Eligibility documentation gathering, 2) assurance of provision of at least one Core Service, and 3) certification of eligibility. During the first phase it will be the Service Provider's responsibility to insure that all documents needed to substantiate WIA eligibility are gathered. In the second phase, it should be documented that the client has received at least one Core Service (see allowable

activities). Documentation should then be submitted to the appropriate Intake staff for the second phase: review, verification and WIA certification. It is at this point that the individual is registered as an "Applicant". Enrollment cannot occur until the individual has met the WIA eligibility criteria and has been officially certified as WIA eligible.

Note: Only trained, experienced staff, authorized by the SVWIN, may certify WIA eligibility. Additionally, review and certification must be conducted by staff other than those who originally compiled the documentation.

Information and Referral

If it has been determined, during Initial Assessment or Intake, that an individual does not meet the enrollment requirements of a particular program or is not eligible for WIA Intensive Services, he/she will be offered assistance in accessing organizations that are more appropriate. For individuals who are not WIA eligible for Intensive Services, a direct referral will be made and documented by the Service Provider. Applicants that are WIA eligible but do not meet specific program requirements shall be referred for further assessment, and as necessary, referred to the most appropriate services to meet his/her needs. Documentation shall be maintained on all such referrals.

Enrollment

If it has been determined that an Applicant is WIA eligible and would benefit from program/Intensive Services, then the Applicant should be enrolled into the WIA system. The Applicant becomes enrolled into the SVWIN programs at the time he or she is determined eligible. At this point the Applicant becomes a "Participant." Enrollment takes place when enrollment documents have been completed and entered into SVWIN's management information system (MIS). SVWIN staff will maintain records indicating error rates on the enrollment documents entered into SVWIN's MIS. Error rates will be used by SVWIN in the on-going evaluation of the contractor's performance, with this being a factor in the renewal of the service provider's contract for the second year.

Intensive Services Case Management

The Adult/Dislocated Worker case managers must maintain complete and legible records in each Participant's case file, including case notes sufficiently detailed to show that Participants have been connected to other programs and resources to provide assistance not provided by the proposing entity. Case notes must detail the date and type of each contact, and will describe, at minimum, the progress made by the Participant and the case manager toward achieving the goals of the Participant and/or program. Contact with each Participant should be at least monthly, and more frequently as needed.

All Participant information will be entered into the I-Train database. Participant documentation will be submitted to SVWIN MIS in a timely manner.

Objective Assessment

Each Participant shall receive a comprehensive objective assessment of his/her skill level and service needs. This assessment will be client centered and shall, at a minimum, include a review of basic skills, education, work history, occupational skills, employability, interests, aptitudes (including interests and aptitudes for nontraditional

jobs), family situation, financial situation/need, and supportive service needs. Qualified examiners must administer the tests and the results must be promptly placed in the Participant's case file.

A new assessment is not required if it is appropriate to use a recent assessment of the Participant conducted under another education or training program.

While the objective assessment is WIA specific and requires testing in each of the above-mentioned areas, it is expected that ongoing, general assessment of a Participant's needs and progress will continue for the duration of enrollment. The results of all assessments will be recorded on the Individualized Employment Plan in the Participant's case file.

Individual Employment Plan (IEP)

Based on the results of the objective assessment, a formal training/needs strategy will be mutually developed between the case manager and the Participant. This strategy (IEP) identifies the employment goal and plots the course of action that should be taken by the Participant, case manager, and the appropriate Partner agencies. It includes appropriate training objectives and/or support service needs. A new IEP is not required if it is appropriate to use a recent IEP developed for a Participant under another education or training program. An on-going review of the progress of each Participant in meeting the objectives of the IEP must be kept.

The IEP must be filled out within 30 days of a participant's enrollment into the program. The IEP will require continuous updating and must accurately reflect and record each measurement of the individual's progress while enrolled in the program.

Post Employment Follow-up Services

Each Participant who is placed in unsubsidized employment must be provided post-employment follow-up services for a minimum of twelve months after the first day of employment, to assist Participants in job retention. These follow-up services should include job coping skills, counseling regarding the workplace, a focus on the transition to employment, the potential for advancement opportunities, and support with problems that may emerge.

Post-Exit Follow-Up Services

Each Participant who is exited from WIA must be provided follow-up services on a monthly basis for the first quarter following exit, and quarterly thereafter for a total period of one year. A post-exit service plan should be created to ensure long-term success for the Participant.

4.4 Funding Terms

Cost of Proposals

The SVWIN shall not in any way be liable or responsible for any costs incurred in connection with the preparation of any proposal submitted in response to this RFP.

Cost Allocation Narrative

The proposer will prepare and submit to SVWIN, as part of the proposal, a Cost Allocation Narrative. A Cost Allocation Narrative is a document which describes: 1) the programs operated by the proposer; 2) how the proposer will identify and accumulate (pool) all shared allowable costs (either shared amongst WIA cost categories and/or amongst all funding sources); 3) the methodology that will be used to allocate shared costs (i.e. based on Participants served); and 4) a description of each line-item, how it relates to services to be provided, and how the estimates were calculated. The methodology used must be in compliance with WIA regulations and all applicable OMB Circulars, and presented in a manner and format acceptable to the SVWIN. The SVWIN's contract monitor will test the proposer's Cost Allocation Narrative during their fiscal monitoring review.

The proposer will be responsible for all payroll services and responsibilities. Payroll processing may be charged to the Administration category and Worker's Compensation costs to Participant fringe benefits under the Participant Cost Category, provided such costs are not excessive.

Constraints

Funds **may not** be used to:

- Support activities which would be provided in the absence of these funds, or which are otherwise available from other sources;
- Support unallowable activities under WIA, such as political activities, displacement of employees by WIA Participants, charging a fee for placement or referral of an individual into a WIA activity, or the promotion or deterrence of union organizing.
- Place a Participant in a WIA employment activity where that individual will oversee, in a supervisory capacity, an immediate family member;
- Place a Participant in a WIA employment activity where that individual will be supervised by an immediate family member;
- Cover costs which are not appropriate and reasonable for the operation of the grant;
- Acquire equipment which is not necessary for the operation of the grant; or
- Reimburse project-related costs incurred prior to the effective date of the grant award.

Corrective Action Report

Proposers and partners that have been monitored or audited by a Federal, State, or local agency within the 24 months prior to the submittal deadline for this RFP will be required to provide a Corrective Action Report for all outstanding findings unresolved by the submittal deadline of March 18, 2004; proposers will append the Corrective Action Report to the proposal.

Proposing entities and partners with outstanding findings that fail to provide a Corrective Action Report specifically addressing the remediation of each outstanding finding may be eliminated from further consideration. SVWIN reserves the right to withdraw an award if it is determined that the award was based on false information provided by the proposer.

Agency Litigation Involvement Form

SVWIN is concerned with litigation involving proposers that may affect the proposer's ability to (1) implement the Workplan in a timely manner, and/or (2) provide the staff and resources specified in the proposal. Please provide specific details of current litigation and any potential impact on the proposed Workplan in the "Agency Litigation Involvement" form attached as page 43 of this RFP.

Selection by the SVWIN Board

Notwithstanding any other provision of this RFP, proposers are hereby advised that this RFP is a solicitation for proposals only, and is not intended and is not to be construed as an offer to enter into any contract or other agreement, or engage in any formal competitive bidding or negotiation pursuant to any statute, ordinance, rule or regulation. SVWIN reserves the right to withdraw or modify the RFP at any time. In the event of a modification, the proposer(s) will be given a limited amount of time to revise proposals.

After the submittal deadline, SVWIN will not consider any unsolicited information a proposer wishes to provide; however, SVWIN may contact you to clarify an item in your application. SVWIN will not seek clarification of items or responses that improve the substantive quality of your response to evaluation criteria.

Notwithstanding a recommendation of a department, agency, individual, or other, the SVWIN retains the right to exercise its judgment concerning the selection of a proposer and the terms of any resultant contract, and to determine which proposal best serves the interests of the SVWIN. The SVWIN Board is the ultimate decision making body and makes the final determinations necessary to arrive at a decision to award, or not award, a contract. The SVWIN reserves the right to establish additional consideration or criteria for funding, as deemed necessary. Such considerations may be addressed through final contract negotiations.

The SVWIN reserves the right to establish minimum threshold levels in this RFP to ensure that SVWIN policy objectives are achieved; these minimum threshold levels are established in Sections 1 through 4 of this RFP.

The SVWIN may reject any proposal and waive any requirement when the action is considered to be in the SVWIN's best interest and negotiate with any proposer changes, revisions, and/or modification of their proposals. SVWIN reserves the right to fund all or part(s) of a proposal. Submission of a proposal does not guarantee that a proposal will be funded. Proposers must permit SVWIN to use ideas presented in their proposals without payment or other consideration.

The SVWIN reserves the right to modify the scope of the program to any extent necessary to ensure compliance with State and/or Federal guidelines. **Failure of the proposer to modify its program in accordance with such guidelines may result in reconsideration of funding recommendations, or termination and recovery of funding.**

Agencies employing or retaining employees of City of San José and/or SVWIN, or members of the SVWIN Executive Committee, as contractors, subcontractors,

partners, or consultants, or in any other capacity, must make such information known within their proposal document. Failure to do so may result in disqualification of the proposal, cancellation of contract or contract award, or result in disciplinary action against individuals involved.

Acceptance of Terms and Conditions

Any proposer submitting a proposal understands and agrees that its proposal shall constitute acknowledgment and acceptance of, and intent to comply with, all the terms and conditions contained in the RFP. Any response to this RFP not meeting the RFP's terms and conditions may be rejected.

Compliance with RFP

The response to this RFP shall be made according to the specifications contained herein. Failure to adhere to RFP instructions may be cause for rejection of the proposal. A proposal that contains conditions or limitations set up by the proposer may be deemed irregular and rejected by the SVWIN.

Truth and Accuracy of Representation

False, incomplete, or unresponsive statements in connection with a proposal may be cause for its rejection. The evaluation and determination of the fulfillment of this requirement shall be in the SVWIN's sole judgment, and its judgment shall be final and conclusive.

Changes to RFP

A proposer submitting a proposal shall not change the wording of the RFP, and no words or comments shall be added to the general conditions and detailed specifications. Proposals submitted with unauthorized changes to the RFP may be deemed irregular and rejected.

Insufficient Proposals

SVWIN reserves the right to reissue this RFP or a new RFP, or to enter into a sole source procurement, or to perform the services themselves, as allowed by law.

Fiscal Responsibility

The proposer must demonstrate the ability to accept fiscal liability for grant funds. (Office of Management and Budget Circular A-133 and 29 CFR Parts 96 and 97)

Public Records Act

Responses to this RFP become the exclusive property of the City of San José. At such time as the SVWIN Board of Directors selects a proposer to receive funding, all proposals received in response to this RFP become a matter of public record, unless the recommendation is to reject all proposals and reissue the RFP, and shall be regarded as public records, with the exception of those elements in each proposal which are defined by the Lead Agency as business or trade secrets and plainly marked as "Confidential," "Trade Secret," or "Proprietary." Neither the SVWIN nor the City shall be liable or in any way responsible for the disclosure of any such proposal or portions thereof, if they are not plainly marked as "Confidential," "Trade Secret," or "Proprietary" or if disclosure is required under the Public Records Act. Any proposal which contains language purporting to render all or significant portions of the proposal "Confidential," "Trade Secret," or "Proprietary," shall be regarded as non-responsive.

Although the California Public Records Act recognizes that certain confidential trade secret information may be protected from disclosure, the City of San José may not be in a position to establish that the information that a Lead Agency submits is a trade secret. If a request is made for information marked “Confidential,” “Trade Secret,” or “Proprietary”, the City will provide the Lead Agency who submitted the information with reasonable notice to allow the Lead Agency to seek protection from disclosure by a court of competent jurisdiction.

Requirements for Successful Agencies

Agencies selected for funding must submit a number of documents including without limitation:

- Articles of Incorporation
- Required Insurance Documentation
- Debarment Certificate

Failure to provide a requested document within what the SVWIN considers a reasonable time frame will be grounds for cancellation of a proposer’s selection.

Compliance with all WIA and Local Workforce Investment Area Requirements

All agencies and individuals awarded SVWIN Contracts will be subject to all actions (past, present, and future) by SVWIN regarding matters affecting WIA Adult and Dislocated Worker programs. This includes WIA bulletins issued periodically from SVWIN.

Type of Contract

SVWIN reserves the right to negotiate a combination cost reimbursement/performance-based contract for year-round services with successful proposers, based upon submission of an approved line item budget and cost allocation plan.

Program Performance Reporting Requirements

Any proposer awarded a contract will be required to report their monthly performance in a manner acceptable to the SVWIN that clearly describes monthly and accrued performance goals versus actual, achieved-to-date monthly and accrued outcomes. The contract will include the ability for the SVWIN to declare fiscal and administrative probation status with possible disallowed costs for contractors not providing monthly performance reports and not completing other program status reports.

EEO Certification

Successful proposers will be required to certify and agree that all persons employed by the proposer, its affiliates, subsidiaries, or holding companies are and will be treated equally by the firm without regard to or because of race, religion, ancestry, national origin, or sex and in compliance with all Federal, State and local anti-discrimination laws.

Employee Health Insurance Coverage Information

Proposers will be required to provide information regarding the status of employee health insurance coverage provided by the proposer.

Drug-Free Workplace

If awarded the contract, the successful proposer shall warrant and certify that it will comply with the California Drug-Free Workplace Act of 1990 (Cal. Gov. Code 8350 et

seq.) as amended, including provision of the requisite certification as set forth therein as well as any applicable federal drug free workplace requirements.

4.5 Information Regarding Submittals

The SVWIN will not provide information regarding the number of proposals submitted, the amounts requested, or the names of proposing entities, until the recommendations for funding are made public.

4.6 Appeals and Grievances

Appeals

If any agency submits a proposal and it is not recommended for funding during the review process, and the agency can show that any substantial portion of the RFP process has not been followed, the agency may appeal the recommendation to the SVWIN. Only appeals that cite the specific sections of the RFP that are being challenged will be considered. Differences of opinion regarding the merits of proposals recommended for funding are not grounds for submitting an appeal. The appeal must be in writing and shall set forth specific facts and evidence and specify which component of the RFP, procurement policy or procedure is being disputed. The appeal must be received by the SVWIN within five (5) business days of the agency's receipt of the notification of refusal. All appeals should be directed to the attention of the SVWIN Executive Director, at 60 South Market Street, Suite 470, San Jose 95113. Appeals received after the established time frame will not be accepted. Appeals will be scheduled for hearing at the next regularly scheduled meeting of the SVWIN Operations Committee within 30 days of the submission of an appeal. A decision by the SVWIN Operations Committee will be made within 10-business days following the hearing and communicated to the agency in writing within the same time period. An agency may appeal the decision of the SVWIN Operations Committee to the full SVWIN Board for hearing at the next regularly scheduled full SVWIN Board meeting. A decision by the full SVWIN Board will be made within 10-business days following the hearing and communicated to the agency in writing within the same time period. All decisions of the SVWIN Board shall be final. Appeals of the final decision of the full SVWIN Board shall be limited to the relief set forth below and/or in accordance with 97 C.F.R. 97.36, or as may otherwise be available under applicable WIA laws and regulations.

Grievances

Following a decision made by the full SVWIN Board of Directors, a proposer may file a formal grievance with the State of California Employment Development Department Compliance Review Division.

All protest/appeal procedures must be exhausted at the SVWIN before proceeding with a grievance to the State of California Employment Development Department Compliance Review Division. In no event shall the filing of an appeal or grievance to the California Employment Development Department Compliance Review Division delay the procurement process or the award of a contract under this RFP.

4.7 Proposer Debriefing Policy

Beginning not less than 30 days after the award is announced, and for 90 days after the award is announced (a 60-day window), SVWIN will provide any requesting proposer with a debriefing on their proposal. All requests for debriefing must be made in writing or by e-mail by the authorized official whose signature appears on the Proposal Cover Page, or his or her successor in office. Please submit your request to Elizabeth Kaylor, Project Analyst, Office of Economic Development, 60 S. Market St., San Jose, CA, 95113, or to elizabeth.kaylor@sanjoseca.gov.

The SVWIN offers debriefings to assist proposers in improving the overall quality and responsiveness of their proposals.

Section 5. APPENDICES

Appendix A

SVWIN RFP Proposal Checklist

This Checklist is intended to assist the proposer in assembling the required elements of their proposal. It is not intended to supplant the careful reading of the specifications of this RFP.

Please note that items 1 -- 18 are mandatory for all proposals. Items 19 -- 23 are mandatory where applicable.

The proposal must include these forms, narratives, and addenda, in the following specified order:

1. _____ Proposal Cover Page (Appendix B)
2. _____ Table of Contents
3. _____ Proposal Summary Form (Appendix B)
4. _____ Proposal Workplan Narrative (15 pages or less)
5. _____ Project Line Item Budget (Appendix B)
6. _____ Cost Allocation Narrative (5 pages or less)
7. _____ Most Recent Financial Statement
8. _____ Program Operating Plan (Appendix B)
9. _____ Signed Agency Litigation Involvement Form (Appendix C)
10. _____ Signed Certification re: Debarment and Suspension (Appendix C)
11. _____ Signed Certification re: Standards of Conduct including Drug-Free Workplace Compliance (Appendix C)
12. _____ Signed Certification re: Anti-lobbying Disclosure (Appendix C)
13. _____ Signed Certification re: Nondiscrimination Assurance (Appendix C)
14. _____ Filled-out ADA Compliance Survey (Appendix C)
15. _____ Resumes and/or Job Descriptions of Program Personnel
16. _____ Program Services Flow Chart (see Section 3.2.3)

17. _____ Participant Characteristics Plan (see Section 3.2.1 and Appendix D)
18. _____ Program Services Organizational Chart (see Section 3.2.3)
19. _____ Letter(s) of Reference (at least one letter is required for all proposers without prior experience in providing WIA services)
20. _____ Corrective Action Report (see Section 4.4)
21. _____ Collaborator Agreements for each Partner (see Section 4.2 and Appendix B)
22. _____ Memoranda of Understanding between Primary Contractor and each Collaborative Partner (see Section 4.2)
23. _____ Letters of Firm Commitment (see Section 3.2.4)
24. _____ Letters of Support (optional)

Appendix B

- √ Proposal Cover Page
- √ Proposal Summary Form
- √ Project Line Item Budget
- √ Program Operating Plan
- √ Collaborator Agreement Form



TO: Elizabeth Kaylor, Project Analyst
Silicon Valley Workforce Investment Network (SVWIN)
60 S. Market St., Ste. 470
San Jose, CA 95113

FROM: _____

RE: PY '04--'05 SVWIN Adult/Dislocated Program RFP
Proposal Cover Page

Received by: _____

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PROPOSAL SUMMARY FORM (Page 1 of 2)

Agency Name:	
Address:	
Agency Telephone # :	Agency Fax # :
Contact Person:	Contact Phone # :
Contact Fax # :	Contact E-mail:
Proposed Service/Program:	
Proposed Target Population(s):	
Number of Participants to be Served:	
Cost Per Participant:	
<p>Type of Organization:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Governmental Organization/Specify: _____ <input type="checkbox"/> Community Based Organization <input type="checkbox"/> Labor Organization <input type="checkbox"/> Business & Trade Association <input type="checkbox"/> Educational Entity/Specify: _____ <input type="checkbox"/> Private, For-Profit Business <input type="checkbox"/> Private, Non-Profit Organization <input type="checkbox"/> Public Agency 	
BUDGET SUMMARY	
<p>WIA Admin. Cost (\$ _____ @ ___ %) + WIA Pgm. Cost (\$ _____) = Total Request (\$ _____)</p> <p>Total Request (\$ _____) – 10% Holdback (\$ _____) + Match (\$ _____) = Total Operating Budget</p> <p style="text-align: center;">Total Request + Match = Total Project Budget (\$ _____)</p>	

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PROPOSAL SUMMARY FORM (Page 2 of 2)

CERTIFICATION OF GOOD STANDING

I certify that the proposing Lead Agency, if it is a corporation, is registered with, and in good standing with, the Secretary of State of the State of California.

CERTIFICATION OF PROPOSAL CONTENT

Duplication of Services and Conflict of Interest

To my knowledge, this proposal does not duplicate services available in the area that are or may be provided by non-WIA sources. This organization, its members and collaborators are not now and will not in the future be engaged in any activity resulting in a conflict of interest, real or apparent, in the selection, award, or administration of a subcontract by WIA funds.

Cost/pricing Data and Proposal Content

This is to certify that, to the best of my knowledge and belief, the cost/pricing data submitted, either actually or by specific identification in writing to the SVWIN in support of this proposal, is accurate, complete, and current as of the date below. This certification includes the cost/pricing data supporting any agreements/contracts that may be agreed upon between the proposer and the SVWIN that are part of the result of submitting this proposal.

Signature of Authorized Representative

Date

Title of Authorized Representative

SVWIN Title 1 Adult Total Operating Budget

(Insert Institution Name)

Budget Period: (from ___/___/___ to ___/___/___)

I. PERSONNEL COSTS							
Name	Position	Base Salary	%Time	Total	Program	Admin.	Match Amount
	Program Manager			(X+Y+Z)	(X)	(Y)	(Z)
	Case Manager						
(Add rows as needed)							
Fringe Benefits (____ %)							
SUBTOTAL:							
CONSULTANTS							
TOTAL PERSONNEL COSTS							
II. NON PERSONNEL COSTS							
OFFICE OPERATIONS							
Supplies							
Duplicating							
Telephone							
Postage							
Equipment Rental							
Service Agreement(s)							
Staff Training							
SUBTOTAL: OFFICE OPERATIONS							
COMMUNICATIONS							
SOFTWARE							
MEETING COSTS							
TRAVEL							
EQUIPMENT PURCHASES							
TOTAL: NON-PERSONNEL COSTS							
III. PARTICIPANT COSTS							
TOTAL OPERATING BUDGET:							

Proposer will break out and separately justify each budget line item in the Cost Allocation Narrative (5 page limit). See Section 4.4 for additional information.

SVWIN Title 1 Dislocated Worker Total Operating Budget

(Insert Institution Name)

Budget Period: (from ___/___/___ to ___/___/___)

I. PERSONNEL COSTS							
Name	Position	Base Salary	%Time	Total	Program	Admin.	Match Amount
	Program Manager			(X+Y+Z)	(X)	(Y)	(Z)
	Case Manager						
(Add rows as needed)							
Fringe Benefits (____ %)							
SUBTOTAL:							
CONSULTANTS							
TOTAL PERSONNEL COSTS							
II. NON PERSONNEL COSTS							
OFFICE OPERATIONS							
Supplies							
Duplicating							
Telephone							
Postage							
Equipment Rental							
Service Agreement(s)							
Staff Training							
SUBTOTAL: OFFICE OPERATIONS							
COMMUNICATIONS							
SOFTWARE							
MEETING COSTS							
TRAVEL							
EQUIPMENT PURCHASES							
TOTAL: NON-PERSONNEL COSTS							
III. PARTICIPANT COSTS							
TOTAL OPERATING BUDGET:							

Proposer will break out and separately justify each budget line item in the Cost Allocation Narrative (5 page limit). See Section 4.4 for additional information.

Program Operating Plan:

Quarterly Performance and Enrollment Goals

The data entered in the following matrices must include the proposed number of participants to be served by the service provider. The data entered must account for all activities and must be presented cumulatively by quarter

Organizational Name:						
Project Title:						
Term:						
1. Program Elements			1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Intensive Services: Adult Title 1						
Intensive Services: Dislocated Worker						
Job Placement: Adult Title 1						
Job Placement: Dislocated Worker						
Program Exit: Adult Title 1						
Program Exit: Dislocated Worker						
Follow-Up: Adult Title 1						
Follow-Up: Dislocated Worker						
2. Performance Measures						
Met Entered Employment Rate:						
Adult Title 1						72%
Dislocated Worker						74%
Met Employment Retention Rate:						
Adult Title 1						78%
Dislocated Worker						87%
Met Earning Gain Rate:						
Adult Title 1						\$3,700
Met Wage Replacement Rate:						
Dislocated Worker						88%

The performance measures shown above are the '03—'04 negotiated performance goals for the SVWIN Service Delivery Area. SVWIN will be negotiating the '04—'05 performance goals with the State of California; proposers and/or contractors will be notified.

Proposer will provide a Program Operating Plan in the proposal for PY '04-'05 and PY '05-'06.

COLLABORATOR'S AGREEMENT

Each Collaborating Agency with whom the Proposer (Lead Agency) will have a formal agreement for the provision of services must complete this agreement. The authorized representative of each Collaborating Agency must sign the agreement. Please make copies as needed.

On behalf of my organization, I acknowledge our intent to formally collaborate with the Proposer (Lead Agency) in the implementation of the WIA Participant Activities in Santa Clara County. I have read the proposal and it accurately reflects my organization's proposed role and commitment. The type of collaborative relationship being proposed is as follows (check all that apply):

Financial:

Financial Resources \$ _____ Funding Source _____

In-Kind Contributions Please Specify _____

Non-Financial:

Resources/Services Please Specify _____

Name of Lead Agency: _____

Address of Lead Agency: _____

Signature of Authorized Representative _____

_____ Date

Title of Authorized Representative _____

_____ Telephone #

Name of Collaborating Agency: _____

Address of Collaborating Agency: _____

Signature of Authorized Representative _____

_____ Date

Title of Authorized Representative _____

_____ Telephone #

Appendix C

- √ Agency Litigation Involvement Form
- √ Certification re: Debarment and Suspension
- √ Certification re: Standards of Conduct including Drug-Free Workplace Compliance
- √ Certification re: Anti-lobbying Disclosure
- √ Certification re: Nondiscrimination Assurance
- √ ADA Compliance Survey

AGENCY LITIGATION INVOLVEMENT

I, [INSERT NAME OF PERSON WHO HAS AUTHORITY TO ACT ON BEHALF OF AND LEGALLY BIND THE PROPOSING AGENCY], hereby declare that: I am an [TITLE AND/OR JOB DESCRIPTION OF PERSON EXECUTING FORM] and have knowledge of the facts set forth in this declaration and would, if necessary, competently testify to the following:

The Agency Name and Address making the proposal is: _____

Check YES or NO to the following questions. If a YES answer is checked, please explain fully the circumstances and include discussion of the type of program involved as well as the potential impact on this program, if funded.

1. Is the organization or are any of its principal officers involved in litigation now or within the last two years? Yes No

2. Is the Executive Director (CEO) involved in litigation? Yes No

3. Are any members of the Board of Directors unable to be bonded? Yes No

4. Are any key staff members unable to be bonded? Yes No

5. Has the Agency or Project Director ever been cited for improper management? Yes No

6. Has the Agency or Project Director ever had public or foundation funds withheld? Yes No

7. Has the Agency, if nonprofit, ever had its nonprofit status revoked or withheld? Yes No

8. Has the Agency, Project Director, or any Key staff member ever been involved in, or cited for, any civil rights violation? Yes No

Response Section (Use extra pages, as necessary)

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on _____, 2004, at _insert city_____,
_____insert state_____.

By:

on behalf of and legally bind the Agency

Name and Title of person authorized to act

**INSTRUCTIONS FOR CERTIFICATION
REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION
LOWER TIER COVERED TRANSACTIONS**

By signing and submitting this proposal, the prospective recipient of Federal assistance funds is providing the certification as set out below:

1. The certification in this clause is a material representation of fact upon which reliance was placed upon transaction. If it is later determined that the prospective recipient of Federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Silicon Valley Workforce Investment Network, Inc. (SVWIN) may pursue available remedies, including suspension and/or debarment.
2. The prospective recipient of Federal assistance funds shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective recipient of Federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
3. The terms “covered transaction”, “debarred”, “suspended”, “ineligible”, “lower tier covered transaction”, “Participant”, “person”, “primary covered transaction”, “principal”, “proposal”, and “voluntarily excluded”, as used in this clause, have the meanings set out in the Definitions and coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
4. The prospective recipient of Federal assistance funds agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the SVWIN.
5. The prospective recipient of Federal assistance funds further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions”, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
6. A Participant in a covered transaction may rely upon a certification of a prospective Participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A Participant may decide the method and frequency by which it determines the eligibility of its principals. Each Participant may, but is not required to, check the List of Parties Excluded from Procurement or Non-procurement Programs.

Debarment and Suspension

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 29 CFR Part 98.

1. The prospective recipient of Federal assistance funds certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective recipient of Federal assistance funds is unable to certify to statements in this certification, such prospective Participants shall attach an explanation to this proposal.

Name and Address of Organization

Name and Title of Authorized Representative

Signature

Date

STANDARDS OF CONDUCT

The following standards apply to all proposers that deliver services under contract with the SVWIN.

- A. **GENERAL ASSURANCE** – The proposer hereby assures that by submission of this proposal, it will comply with the standards of conduct set forth in the San José City Charter and all associated policies or ordinances related thereto, and any State or Federal conflict of interest provisions that are required for WIA programs and services, which are necessary to maintain the integrity of the program and avoid any conflict of interest in their administration.
- B. **CERTIFICATIONS** – Except as otherwise indicated, the following certifications apply to all proposers.
1. The proposer, if it is a corporation, certifies that it is registered with the Secretary of State, of the State of California.
 2. **Drug-Free Workplace**: As required by the state Drug-Free Workplace Act of 1990, Gov. Code Sec. 8350 et seq., and the Federal Drug-Free Workplace Act of 1988 which includes, but may not be limited to, 29 CFR 98.600, 29 CFR 98.630, 34 CFR Part 85, Subpart F, Sections 85.605, 85.610), the proposer certifies that it will, or will continue to, provide a drug-free workplace.
 3. **Americans with Disabilities Act (ADA)**: The Americans with Disabilities Act of 1990 is a comprehensive civil rights act for people with disabilities. It guarantees equal opportunity for individuals in with disabilities in public accommodations; employment; transportation; federal, state and local government services; and telecommunications. The proposer certifies that it will maintain policies, procedures, and practices that comply with all requirements of the ADA.
 4. **Nondiscrimination**: Proposer shall not discriminate on the ground of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for Participants only, citizenship or participation in programs or activities funded by WIA, in admission or access to, opportunity or treatment in, or employment in the administration of, or in connection with, any program or activity funded under this RFP or contract arising from this RFP.

Proposer assures, with respect to operation of this funded program or activity and all agreements or arrangements to carry out this program or activity, that it will comply fully with all nondiscrimination and equal opportunity statutes and regulations including, but not limited to, the following; Section 188 of the Workforce Investment Act of 1998; Title VI and VII of the Civil Rights Act of 1964, as amended; Americans with Disabilities Act of 1990; Section 504 of the Rehabilitation Act of 1973; Title IX of the Education Amendments of 1972; Age Discrimination Act of 1975, as amended; California Fair Employment and Housing Act, Government Code Sections 12900 et seq.; California Labor Code Sections 1101, 1102, and

1102.1; and with all applicable requirements imposed by or pursuant to regulations implementing those laws.

Proposer assures that it will comply fully with the nondiscrimination and equal opportunity provisions of WIA and acknowledges that the federal, state, and City of San José governments shall have the right to seek judicial enforcement of this nondiscrimination assurance.

Signature of Authorized Representative

Date

Title of Authorized Representative

CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal contracted funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal contracted funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the documents for all subcontracts, and that all subcontractors shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was entered into or made. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Contractor Organization

Program/Title

Name of Certifying Official

Signature

Date

NON-DISCRIMINATION ASSURANCE

During the performance of this contract, the contractor/vendor agrees as follows:

- I. The contractor/vendor will not discriminate against any employee, applicant for employment, or applicant for services because of race, religious creed, color, national origin, ancestry, disability, marital status, sex, or sexual orientation. The contractor/vendor will take affirmative action to assure that applicants are employed, and that employees are treated during their employment, without regard to their race, religious creed, color, national origin, ancestry, disability, marital status, sex or sexual orientation. Such affirmative action shall be designed to insure against discrimination in the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation, and selection for training, including apprenticeships or any other change or proposed change in employment conditions.

- II. The contractor/vendor will cause the foregoing to be inserted in all subcontracts for any work covered by this contract so that such provisions will be binding upon each subcontractor, provided that the foregoing provisions shall not apply to contracts or subcontracts for standard commercial supplies or raw materials.

AUTHORIZED SIGNATURE

DATE

TITLE

ORGANIZATION

ADA 504 ACCESSIBILITY SURVEY

CONTRACTOR/VENDOR: _____

INQUIRY	YES	NO	EXPLANATION
<p>1. List the various program components your agency provides and indicate whether each has been made available to qualified disabled individuals; such as:</p> <ul style="list-style-type: none"> • Intake • Assessment • Job Placement • OJT • Job Search Workshops • Work Experience • Classroom Training • Other 			
<p>2. Are policies assuring that your organization does not discriminate on the basis of race, color, national origin, religion, age, sex, physical or mental handicap, marital status, or political affiliation posted in conspicuous places which include the phone number of the person to be contacted if problems occur?</p>			
<p>3. Is all information about ethnic designation or disabled condition appearing on any application forms voluntary and used only for statistical purposes?</p>			
<p>4. Have complaint procedures been established and disseminated to all applicants regarding their rights under Section 504?</p>			
<p>5. Has recipient accommodation been requested and provided to applicants in any of the various program components your agency administers?</p>			
<p>6. Is your overall training program accessible to the visual, hearing, or speech impaired?</p>			
<p>7. Is program information available as necessary in languages other than English?</p>			
<p>8. Are all programs and activities conducted in the most integrated setting appropriate to qualified disabled individuals?</p>			

A. ADA 504 ACCESSIBILITY SURVEY, Cont.

INQUIRY	YES	NO	EXPLANATION
9. Have any of the following services been provided to persons during their program participation? <ul style="list-style-type: none"> • Transportation • Health Services/Insurance • Benefits • Counseling 			
10. Have auxiliary aids (e.g., interpreters, readers, Braille materials) been requested by applicants and/or Participants and provided as appropriate?			
11. Does your facility have the ability to communicate with hearing impaired applicants and employees by telephone (TDD)?			
12. If not, have arrangements been made for such communication?			

B. EMPLOYMENT PRACTICES AND POLICIES

INQUIRY	YES	NO	EXPLANATION
1. Are rates of pay and all other forms of compensation equal for all employees in the same class, including the disabled?			
2. Are all hiring, promotion, assignment, training, and other employment practices/ opportunities applied equally to all employees?			
3. Have procedures been developed for identifying the number of disabled employees, Participants, and applicants receiving services?			
4. Have any employees requested reasonable accommodations based on disability?			
5. Has reasonable accommodation been provided to qualified disabled persons to enable them to perform duties of the job (e.g., special aids, modification of work sites, or restructuring of jobs?)			
6. Do all persons, including the disabled, have access to an established grievance procedure that provides due process in resolving complaints alleging discriminatory action prohibited by these policies?			
7. Are notices of employment opportunities and training programs given to all applicants including those with visual or hearing impairments?			
8. Are all employment opportunities and training programs given to all applicants including those with visual or hearing impairments?			
9. Are selected personnel trained or are other qualified persons made available to assess the qualifications of disabled persons who must be tested through alternative methods due to hearing, visual, and /or speech impairment.			
10. Do qualified persons from all above noted groups (i.e., ethnicity, gender, disability, etc.) serve on oral panels as appropriate?			

C. FACILITIES

INQUIRY	YES	NO	EXPLANATION
<p>1. List the various components your agency administers and indicate whether these facilities are physically accessible to the disabled, such as:</p> <ul style="list-style-type: none"> • Intake • Assessment • Referral • Training • Other 			
<p>2. Are any parking spaces clearly identified with signposts and ground painting as reserved for disabled individuals? If so, where is it located?</p>			
<p>3. Is each designated parking space at least 12 feet wide? (Some vans have wheelchair elevator lifts that require extra space on the side of the van.)</p>			
<p>4. To get from the accessible parking to the building's entrance, do disabled individuals have to:</p> <ol style="list-style-type: none"> a. Go behind any vehicle other than his/her own? b. Cross any type of barrier, e.g., steps, steep slopes, curbs, grass, low spots in ground or pavement, buckled concrete, gravel, etc.? 			
<p>5. Can disabled individuals enter the building through an accessible front entrance or an alternative entrance?</p>			
<p>6. Are information/public counter areas accessible to disabled individuals entering the building?</p>			
<p>7. Is at least one public telephone accessible to the disabled?</p>			
<p>8. Does each meeting room have a doorway that provides a width of at least 32 inches when open? If no, describe doorway.</p>			
<p>9. Is the floor level within 60 inches of a doorway leading to each meeting room, both inside and outside?</p>			

C. FACILITIES, Cont.

INQUIRY	YES	NO	EXPLANATION
10. Is there enough space in the meeting rooms for people on crutches or in wheelchairs to maneuver safely between the table and the wall and around the chairs?			
11. Do doorways leading to the restrooms provide an opening at least 32 inches wide?			
12. Does each restroom have at least one toilet stall with a doorway that opens at least 32 inches?			
13. Is the toilet stool in the accessible stall mounted so a person in a wheelchair would find it accessible after the door is closed?			
14. Is the disabled-accessible toilet stall equipped with grab bars?			
15. Does at least one accessible building doorway provide a width at least 32 inches when open? If no, describe entrance.			
16. Can the building entrance doors be opened with one hand?			
17. Is the floor level within 60 inches of the building's doorway, both inside and outside?			
18. Do elevators allow access to all levels in the building?			
19. Are the elevators accessible from the accessible entrance?			
20. Does the open elevator door provide a width of at least 32 inches?			
21. Are the elevator controls within 42-48 inches of the floor?			
22. Does the elevator control panel, and each elevator entrance, have raised numbers and Braille symbols?			

Appendix D.

Participant Characteristics Plan

Characteristics of Target Population(s)	Title 1 Adults	Title 1 Dislocated Workers
New Enrollments:		
Carry Over Enrollments:		
Total Enrollments:		
Race/Ethnic Group:		
African-American (non-Hispanic)		
American Indian		
Asian		
Caucasian		
Hispanic		
Pacific Islander		
Other		
TOTAL:		
Gender:		
Female		
Male		
TOTAL:		
Barriers to Employment:		
Deficient in Basic Skills		
Transient (Homeless)		
Limited English Proficiency		
Deficient in Basic Work Skills		
Disabled		
Other		
TOTAL:		
Areas of Need:		
Veterans		
Adults in CalWORKS		
Other		
TOTAL:		

Appendix E.

SVWIN Service Delivery Area

AREA I: Gilroy One Stop

Gilroy – 95020,
Morgan Hill – 95037, 95038
San Martin – 95046

AREA II: Campbell One Stop

Los Gatos – 95032, 95033, 95044, 95026
Monte Sereno – 95030
Campbell – 95008, 95009, 95011
Saratoga – 95070, 95071
Los Alto Hills – 94022
San José – 95117, 95118, 95120, 95124, 95125, 95126,
95128, 95129, 95130

AREA III: San José One Stop

Alviso – 95002
San José – 95013, 95042, 95101, 95102, 95103, 95106,
95108, 95109, 95110, 95111, 95112, 95113, 95114, 95115,
95116, 95119, 95121, 95122, 95123, 95127, 95131, 95132,
95133, 95134, 95135, 95136, 95137, 95138, 95139, 95140,
95148, 95192, 95193